



METROPOLITAN STATE COLLEGE of DENVER

PERFORMANCE PAY PROGRAM

Revised 01/17/05

**Most Current as of February 2006**

**METROPOLITAN STATE COLLEGE OF DENVER  
PERFORMANCE PAY PROGRAM**

**March 1, 2002**

<b>Table of Contents</b>	<b>Page</b>
I. Introduction	
2	
a. Purpose of Performance Management	
2	
b. Performance Management Values and Guiding Principles	
2	
c. Metropolitan State College of Denver Mission Statement	
3	
d. Overview of Performance Salary Adjustment Process	3
II. Performance Management	5
a. Performance Planning	5
b. Performance Progress Review	6
c. Performance Evaluation	6
III. Performance Salary Adjustment Distribution and Allocation	9
a. Base Building Adjustments	9
b. Non-Base Building Adjustments	
10	
c. Non-Monetary Incentives	
10	
IV. Performance Pay Program Dispute Resolution Process	11
V. Performance Management, Review, Monitoring, Recordkeeping, and Reporting	13
VI. Training, Communication, and Orientation Plan	14
IX. Appendices	
a. Planning and Evaluation Form	
16	
b. Progress Review Form	31
c. Employee Self-Evaluation Form	
33	
d. Internal Dispute Resolution Form	35
e. External Dispute Resolution Form	37

## **I. Introduction**

Former Governor, Roy Romer, signed Senate Bill 00-211, concerning a pay plan for state classified employees based on a performance-based system of performance evaluation as a result of House Bill 96-1262 passed by Colorado Legislature in 1996. This system-wide plan is referred to as Performance Pay System; while Metropolitan State College of Denver's plan is referred to as Performance Pay Program. This document represents Metropolitan State College of Denver's model to measure Colorado state classified employees' job performance, tie adjustments to performance, describe the payout processes, and the college's implementation plan.

In accordance with CRS 24-50-104(1)©(III), Metropolitan State College of Denver has designed the following Performance Pay Program within the parameters and guidelines established for all State agencies as directed by the State Director of Personnel.

### **a. Purpose of Performance Management**

Performance management is a business tool that helps organizations as well as individuals achieve their visions, goals, and strategic objectives. A successfully implemented performance management system is the foundation for other programs, policies, procedures, and continuous improvement initiatives. Performance management is an ongoing process, not a one-time event. Such a system is critical for individual and organizational success. Everyone, at all levels, shares responsibility and is accountable for making a performance management system successful. Managers, supervisors, and employees must evaluate and clearly define what needs to be accomplished, as well as how it will be accomplished. These "what" and "how" objectives are interdependent. Training is a key component to a successful performance management system. A successful performance management system encourages open, ongoing communication in order to build trust and develop a work environment that focuses on continuous improvement and productivity.

### **b. Performance Management Values and Guiding Principles**

Performance management is a system that is created and implemented to ensure that the level of performance expected by the organization is identified, selected, developed, and rewarded. The structure of this system is based upon three foundational elements:

- The mission and guiding principles of the College;
- Goals and strategies of the College; and
- The individual and/or team performance required for success.

Expectancy and goal-setting theories predict that a pay-for-performance plan can improve performance by:

- Directing employee efforts toward organizationally defined goals;
- Increasing the likelihood that those goals will be achieved; and
- If goals are developed properly, their achievement may be more readily associated with an individual so that appropriate individual rewards may be given.

The goal setting process is more likely to improve employee performance when goals are:

- Specific;
- Moderately challenging; and
- Accepted by employees.

Thus, a performance-based evaluation system can be successful if:

- Goals and measures are established;
- Pay increases are meaningful; and
- Consistent communication and feedback between the supervisor and employee occur.

### **c. Metropolitan State College of Denver's Mission Statement**

To ensure that Metropolitan State College of Denver's Performance Pay Program aligns with the mission/vision/values of the College, it is important to first understand what the mission of the College is.

*"The mission of the Metropolitan State College of Denver is to provide a high-quality, accessible, enriching education that prepares students for successful careers, post-graduate education, and lifelong learning in a multicultural, global, and technological society. The college fulfills its missions by working in partnership with the community at large and by fostering an atmosphere of scholarly inquiry, creative activity, and mutual respect within a diverse campus community."*

Based on the mission of the College, supervisors and employees are expected to engage in collaborative efforts throughout the performance management process to identify performance objectives and measurement standards expected of each individual employee which links to the mission of the College and individual department in an effort to achieve a successful performance-based pay system.

### **d. Overview of Performance-Based Pay Process**

State law, Personnel Board rules and the personnel director's administrative procedures require that each classified employee's performance be evaluated at least once a year. The evaluation cycle begins April 1 and ends March 31 of each year. The performance appraisal process involves three key components:

1. **Planning:** Performance planning establishes the foundation for an effective performance management process. A well-crafted performance plan informs the employee of the criteria that will be used to evaluate his/her performance several months into the future. The performance plan provides important clarity to the employee on the priorities for his/her job. The signature sheet (top sheet) of the

performance plan is due in the Human Resources Office by **April 1** of each year and serves as the supervisor's verification that a plan was developed.

2. Progress Review: During the year, supervisors should provide comments on the employee's performance, consulting the performance plan and relating their comments to the job expectations. By mutual agreement, the supervisor and employee may modify the plan during the year. At least one written progress review, signed by both the supervisor and employee, is required to be sent to the Human Resources office by **October 1** of each year.
3. Appraisal: **March** of each year, all classified employees will be evaluated, in writing, based on their job performance during the evaluation period. Performance ratings will be based on four levels, with the first level indicating unsatisfactory performance. The entire evaluation document must be sent to the Human Resources office no later than March 31 of each year.

## II. Performance Management

Metropolitan State College of Denver's performance management process is designed to provide a framework for supervisors to communicate, in measurable terms, job expectations to employees and to let employees review how they have done. It will provide the basis for decisions regarding eligibility for performance payments under the State's Performance Pay Program.

The performance evaluation form that has been created for MSCD's performance pay program to document the performance management process for each classified employee is contained in the appendices of this document. The form can be accessed electronically on the College's Human Resource web site. Hard copies are also available in the Office of Human Resources and are sent to the supervisor of a new hire prior to their employment date.

The three key components of the performance management process, as listed on the previous page, are explained in greater detail below:

a. Performance Planning:

**April 1** of each year or within 30 days of initial date of hire, the supervisor and employee will develop a performance plan. Supervisors communicate their expectations for performance at this time, and both parties ideally should agree on the specific elements included in this plan. All plans should reflect that at least eight objectives/goals be established for each employee. This will consist of five core competencies and three individual performance goals. Each competency/goal must be assigned a weight based on level of importance. The total of all weights cannot exceed 100%.

The five statewide uniform core competencies, defined by the State Personnel Director, will be incorporated into every employee's performance plan and must be used in determining every employee's final overall performance rating. Core competencies are knowledge, skills, abilities, behaviors, and characteristics required for successful performance of all jobs in Colorado state government, regardless of level, occupation, or work unit. These five core competencies include communication, interpersonal relations, customer service, accountability, and job knowledge.

Metropolitan State College of Denver requires that each employee must have at least three Individual Performance Objectives (IPO's or goals) incorporated into their performance plan at the start of each year. Individual Performance Objectives are goals that the supervisor expects the employee to achieve specific to the planning year (i.e., a one-time special project), to emphasize job expectations (i.e., supervision of student employees), or to address specific performance areas (i.e., tardiness).

Teamwork, if an important part of an employee's job, can be measured as a component of an individual's performance plan. Teamwork should be weighted proportionately to its relative level of importance in performing the job.

The supervisor is ultimately responsible for ensuring that each employee has a plan that reflects the employee's assigned duties. When the evaluation plan is given to an employee, a copy of the dispute resolution process must also be provided. This dispute resolution process includes timelines for disputes as well as the names of the decision makers in the dispute resolution process.

Completed and signed plans must be returned to the Human Resources office by April 30 of each year. If the employee's supervisor does not develop a performance plan for the employee, the supervisor's reviewer (typically the second level supervisor) shall develop a performance plan for that employee. If the next level supervisor fails to plan in a timely manner, the reviewer's supervisor is responsible for completing the plan. Responsibility for plan completion continues on up the chain of command until the plan is completed as required by law.

The performance plan for all supervisors will have a factor in their own performance plan that evaluates the effectiveness of performance management of their employees used in determining every supervisor's final overall performance rating.

Employees are encouraged to create and maintain an important events journal/file to begin documenting significant work achievements and other important incidents that occur throughout the year to present to their supervisor at time of evaluation.

#### b. Performance Progress Review

The success of performance management relies heavily on continuous coaching and feedback, preferably on a quarterly basis. However, State policy and the College requires that only one documented written progress review reflecting coaching and feedback for every permanent State Classified employee be completed by the last working day in October of every year. This performance progress review session should consist of a review and discussion of:

1. The unit's work plan and any modifications resulting from changed business conditions since the plan was initially developed.
2. The employee's performance on the competency areas selected during the performance planning phase.
3. The employee's progress in satisfying the competency/goals established during the performance planning phase.
4. Modifications to the employee's performance plan (i.e. competency areas and/or goals) resulting from changed business conditions since the plan was initially developed.

#### c. Performance Evaluation

The final performance evaluation involves a mandatory meeting between every employee and his/her supervisor or assigned work leader. This meeting consists of a review and discussion of:

1. All relevant performance data accumulated throughout the evaluation period.

2. The employee's performance on the selected competency areas throughout the evaluation period.
3. The employee's performance on the Goals.

Employees are encouraged to complete and submit to their supervisors, prior to the meeting, an Employee Self Evaluation Worksheet. This will assist both the employee and the supervisor in preparing for the performance evaluation meeting. Employees are also encouraged to gather all supporting documentation to uphold their position/self-rating, and attach it to the Employee Self Evaluation Worksheet. This provides the employee an opportunity to have relevant information considered by the supervisor prior to the establishment of a preliminary evaluation.

Upon completion of the meeting, the supervisor considers the information provided by the employee, job-relevant performance information obtained from a variety of sources, comparing each employee's performance with other employees in the unit, and independent observations to derive a fact-supported composite performance rating. This composite performance rating must be recommended to the reviewer (typically the second level supervisor) for approval.

The reviewer functions in a quality control role ensuring that performance ratings reflect valid differences in performance levels among employees, not differences resulting from rating scale variances used by different supervisors (i.e., easy vs. hard raters). Ultimately, the College President is responsible for maintaining quality control over the performance management process within the college. Part of this quality control is to ensure the equity and fairness of employee ratings across all units reporting to the President.

If the employee disagrees with their preliminary evaluation, they may request that a member of an impartial third party review their evaluation for quality and consistency within their department before final ratings are provided to the employee. The Performance Pay Program Committee will act as an impartial third party and members will consist of the Classified Human Resources Manager, the Classified Council President, a representative appointed by the President, and one Classified Mentor of the employee's choice. Any member of this committee will convene only when there is a formal request for an impartial review by the employee.

Once an employee's performance rating is determined by the supervisor and reviewer, the supervisor informs the employee of the final performance rating. The supervisor should make a serious effort to keep to a minimum the time between the performance evaluation meeting and communicating the final performance rating to the employee. When the performance rating is given to employees, a copy of the dispute resolution process must also be provided. This dispute resolution process includes timelines for disputes as well as the name of the appointing authority.

A Level 1 rating, denoting needs improvement, may result in a performance improvement plan or a corrective action and are ineligible for an annual performance salary adjustment. Supervisors must ensure that sufficient documentation exists to support the rating and follow-up action. The performance improvement plan or corrective action shall specify the reason for the action, the desired behavior or outcomes expected from the employee to remedy the situation, and the period of time



the employee has to comply with the desired behavioral changes or performance outcomes.

When a performance improvement plan and/or corrective action is provided to an employee, the supervisor shall meet with the employee by the last day specified in the plan or action to review the employee's performance. A supervisor might decide to:

- Modify the Level I rating to Level II or above.
- Extend the period of time the employee has to comply with the desired behavioral changes or performance outcomes and continue the performance improvement plan or corrective action;
- Pursue more severe action against the employee (e.g. disciplinary action); or
- Take other appropriate action based on the merits of the situation, including initiation of mediation.

The supervisor shall document the action and retain the documentation for future use.

If the employee's supervisor fails to provide an employee with a final performance rating, the supervisor's reviewer (typically the second level supervisor) is responsible for establishing a rating. If the next level supervisor fails to rate in a timely manner, the reviewer's supervisor is responsible for completing the rating. Responsibility for evaluation completion continues on up the chain of command until the rating is completed as required by law.

When supervisory changes occur mid-evaluation cycle, the outgoing supervisor must provide the employee with an evaluation of their performance for the period of time under their direction. The incoming supervisor is responsible for creating a new plan for the remainder of the evaluation year. The final rating for the employee will be averaged by incorporating both ratings.

In the event an employee does not receive a final performance rating in a timely manner, a default performance rating of Level II (i.e., first satisfactory rating) is adjusted until a final rating can be given. This default rating is used in the process of determining the employee's performance adjustment amount. However, an employee may dispute an individual final evaluation or the lack of a final evaluation.

Sanctions for failure to provide an employee with a final performance rating will be imposed. Absent extraordinary circumstances, failure by a supervisor to provide a timely rating can result in a corrective action and/or ineligibility for a performance adjustment. If the final performance rating is not completed within 30 days of a corrective action, the supervisor shall be disciplinarily suspended in increments of one work week following a pre-disciplinary meeting. If an evaluation is not completed by July 1, a supervisor may be demoted. If failure to complete an evaluation by July 1 occurs for two consecutive years, the supervisor shall be demoted to a non-supervisory position.

### **III. Performance Salary Adjustment Distribution and Allocation**

The State Classified system allows any permanent employee achieving an overall performance evaluation rating of Level II, Level III, or Level IV to be eligible for a salary adjustment each year. A salary adjustment may be base building, non-base building, a combination of base and non-base building, or there may be no adjustment granted for any level. Performance salary adjustments are based on final overall ratings.

New employees who are hired on or before the last working day in December of each year will be evaluated for their partial year of employment and be eligible for a performance salary adjustment. Employees who are hired on or after the first working day in January, will have an interim evaluation based on the performance plan that was developed for them within 30 days of their hire date. These employees will not be eligible for an annual performance salary adjustment (if any). Conversely, employees must be employed on July 1 to realize the adjustment of salary. The employee's current department as of July 1 is responsible for payment of the adjustment.

Performance evaluations are based on four levels of performance, Level I through Level IV. A Level I rating indicates needs improvement. Supervisors must provide detailed justification/narrative for each goal given this rating. If the overall performance rating is Level I, a corrective action may result. On the opposite end of the rating scale, a Level IV rating is at the outstanding level and is unique and difficult to achieve because it represents consistently exceptional performance or achievement beyond the regular assignment. A descriptive for each rating is listed on page 2 of the Performance Evaluation and Planning Form.

All performance salary adjustments are effective on July 1. The State Personnel Director shall specify and publish the percentage ranges for performance levels based on the available statewide performance pay funds. Generally, the payout of performance adjustments (if any) will be communicated to all employees by July 1st of each fiscal year and will describe the amount of individual performance adjustments (if any) and whether the adjustments are base-building, non-base building, or a combination of base and non-base building.

The college can determine the percentage of adjustment that falls within the range for each level that is established by the State Personnel Director. An employee cannot be granted an adjustment or combination of adjustments greater than or less than the set performance adjustment range established by the State Personnel Director for each level regardless of the employee's performance level.

#### **a. Base Building Adjustments**

Base building adjustments are a permanent part of pay and paid as regular salary. Employees who are at the pay range maximum or in saved pay above the maximum of the range are ineligible for a base building adjustments. Employees who perform at a Level II through Level IV and whose salary falls below the pay range maximum are eligible for base building adjustments. Level II and Level III performers cannot be

granted a combination of adjustments that results in a dollar amount greater than the pay range maximum. Also, Level II and Level III performers at the maximum of their pay range or in saved pay above the maximum of the range are not eligible for any base building adjustments. Base building adjustments that result in a base salary that exceeds the pay range maximum cannot be granted.

b. Non-Base Building Adjustments

Non-base building adjustments must be earned each year and do not become a permanent part of pay. However, non-base building adjustments do count toward the employee's highest annual salary for PERA purposes. Non-base building adjustments are paid as a lump sum in July of each year. Any unpaid performance salary adjustment is due in full when an employee terminates employment. Level II through Level IV performers whose salary falls below the pay range maximum are eligible for a performance pay adjustment. The proportions of adjustments will be established in advance and be consistent for all employees. Only Level IV performers, at the sole discretion of the President, may be granted a non-base building adjustment that results in a dollar amount above the pay range maximum.

c. Non-Monetary Incentives

Metropolitan State College of Denver supervisors of classified employees are encouraged to use a variety of non-salary and monetary incentives available within their budget to supplement salary-based performance adjustments. Examples of non-monetary incentives include a day off with pay, tickets to various campus events, or free parking passes for one week.

## **IV. Performance Pay Program Dispute Resolution Process**

If there is disagreement concerning a performance plan or performance evaluation, that are not claims of discrimination, employees may initiate the dispute resolution process. A description of the internal dispute resolution process, including timelines and decision makers, shall be given to employees annually at the time of evaluation or can be obtained from the Office of Human Resources.

### **Guidelines for employees who wish to dispute a performance plan or evaluation:**

Informal resolution of disputes at the lowest level is highly encouraged. The burden of proof in the dispute resolution process falls upon the employee. Issues that are not related to the performance plan or evaluation are not a part of this dispute resolution process.

#### **Issues that Employees May Dispute:**

- Their own performance plan or lack of plan;
- Their own performance evaluation or lack of a final evaluation;
- Full payment of an adjustment;
- Application of the college's Performance Pay Program, policies, or processes.

#### **Issues that Employees May NOT Dispute:**

- The content of the college's Performance Pay Program;
- Matters related to the funds appropriated;
- The performance evaluations and adjustments of other employees;
- The amount of a performance adjustment, unless the issue involves the application of the college's Performance Pay Program.

### **Guidelines for Dispute Resolution Decision Makers:**

The dispute resolution process must be open and impartial and must allow the parties an opportunity to have issues reviewed objectively. Decision-makers are limited to addressing facts surrounding the current performance plan or evaluation and shall not substitute their judgment for that of the rater, but may instruct raters to follow the agency plan, correct errors, reconsider a performance rating or plan, or other appropriate action such as mediation. Decision-makers cannot render decisions that would alter the college's Performance Pay Program. Retaliation against any person involved in the dispute resolution process is prohibited.

### **Dispute Resolution Process:**

Only issues originally presented in writing shall be considered throughout the dispute resolution process. No party has an absolute right to legal representation, but may have an advisor present. The parties are expected to represent and speak for themselves.

#### **Informal Process:**

The employee and supervisor should schedule an informal meeting to resolve the issue(s) within two working days after the performance plan or evaluation is presented. The employee should bring any supporting documentation that may aid the supervisor's decision. If the employee and supervisor are unable to reach an agreement during this meeting, or if they are unable to meet, the employee may proceed to the formal internal process.

### Formal Internal Dispute Resolution Process:

1. The employee must submit a written request to initiate the Formal Internal Dispute Resolution process to the next higher level supervisor within three (3) working days of signing the performance evaluation or plan. A copy of this written request must also be provided to the supervisor. The employee's written request should include:
  - The purpose of the request;
  - Specific examples of his/her disagreement;
  - All pertinent documentation related to the dispute necessary to substantiate reasons for the disagreement.

The higher-level supervisor may meet with the employee at his/her discretion, but must render a decision in writing and deliver to the employee within five (5) working days of the date the written request was received.

2. If the employee does not agree with the decision of the higher-level supervisor, the employee may submit the same written request as originally presented in step 1 to the third level supervisor using the process and timelines listed above. The employee may not add any additional items to be considered at the third stage of the dispute resolution process.

The third level supervisor's decision must be made in writing within five (5) working days of the date the written request was received and must include a written copy of the Formal External Dispute Resolution Process. The decision of the third level supervisor is final. Employees will have no further recourse for resolution of these disputes at the internal level. The employee must be given written notice of the External Dispute Resolution Process upon completion of the Internal Dispute Resolution Process.

### Formal External Dispute Resolution Process:

An employee may request a review by the State Personnel Director upon completion of the College's Formal Internal Dispute Resolution Process by submitting a written request to the State Personnel Director within five (5) working days of the College's final decision only for matters relating to:

- The application of the college's Performance Pay Program, policies, or processes; or
- Full payment of an adjustment.

Requests for review must be submitted to State Personnel Director, Attn: Appeals Processing,

1313 Sherman Street, Room 122, Denver, CO 80203 and must include the reason for the request, specific examples of disagreement, supporting documentation, and a copy of all requests

for review at all levels of the Formal Internal Dispute Resolution Process as well as copies of the

decisions rendered by the second and third level supervisors. The State Personnel Director may

select a qualified neutral third party to review the matter. The Director shall issue a written

decision that is final and binding within 30 days.



## **V. Performance Management Review, Monitoring, Recordkeeping, and Reporting**

The reviewer (next level supervisor) functions in a quality control role ensuring that performance ratings reflect valid differences in performance levels among employees, not differences resulting from rating scale variances used by different supervisors (i.e., easy vs. hard raters). Ultimately, the College President is responsible for maintaining quality control over the performance management process within the college. Part of this quality control is to ensure the equity and fairness of employee ratings across all units reporting to the President.

If the employee disagrees with their preliminary evaluation, they may request that a member of an impartial third party group review their evaluation for quality and consistency within their department before final ratings are provided to the employee. The PPP Committee will act as the impartial third party and members will consist of the Classified Human Resources Manager, the President of the Classified Council, a representative appointed by the President, and one Classified Mentor of the employee's choice. Any member of this committee will convene only when there is a formal request for an impartial review by the employee.

A **copy** of the completed signature sheet (top sheet) of all performance plans and progress reviews must be sent to the Human Resources office by the designated deadlines. The **original** entire document for performance evaluations are sent to Human Resources by March 30 of each year. This is the supervisor's verification that a performance plan, progress review, and/or evaluation had taken place. Human Resources documents the date that each signature sheet and/or evaluation was received into an electronic database. Two attempts by Human Resources to provide reminders of performance plan/progress review/evaluation deadlines will be conducted. At the completion of the fiscal year, a report will be generated and sent to the President that lists the following:

- a. Supervisors who were more than 30 days late in turning in a performance plan/progress review/evaluation.
- b. Supervisors who failed to turn in a performance plan/progress review/evaluation.

In addition to the information listed above, the Office of Human Resources will provide the President with information pertaining to total dollars appropriated for performance adjustments for prior fiscal year; total amount of those appropriated dollars adjusted to employees for performance adjustments; and total amount of dollars adjusted for each performance category.

All final performance plans/progress reviews/evaluations will be collected by the Office of Human Resources and housed in each employee's individual personnel file.

The Office of Human Resources will input the Performance Pay Program data into the State's computerized personnel system and will report to the State Personnel Director, by specified deadlines, required information as requested.

## **VI. Training, Communication, and Orientation Plan**

Training and communication is the cornerstone of a successful performance management system. A successful performance management system encourages open, ongoing communication in order to build trust and develop a work environment that focuses on continuous improvement. Therefore, performance management training is mandatory for all supervisors.

Performance management training will cover the basic process of the College's performance management plan for classified employees as well as the development of good performance measures in the form of Individual Performance Objectives (IPO's) or goals and Core Competencies, as required by the State. Training will also cover effective coaching and feedback, supervisor accountability, dispute resolution process, tying the College vision/mission to each employee's performance plan, and how it all comes together to affect individual employees' performance salary adjustments.

Performance Management Training within Metropolitan State College of Denver has occurred in the past through two-day classroom led instruction, as well as on-line presentations, accessible to all employees from their desk top computers, regarding changes to the performance pay system as it has occurred. Documentation regarding an employee's attendance or review of on-line training courses are submitted to Human Resources, and placed in the supervisor's/employee's personnel file.

All new employees and supervisors are required to attend a college-wide orientation program within one month of hire. This orientation program will familiarize new employees and supervisors to Metropolitan State College of Denver's Performance Pay Program.

Employees who are promoted to supervisory/management positions are required to attend mandatory performance management training. These training opportunities will be held periodically throughout the year and employees can access an electronic calendar system that will assist in the scheduling of training sessions. In addition, Human Resources will forward the names of new supervisors/managers to the training manager as they occur, so that invitations to formalized performance management training can be initiated.

Refresher courses on performance management will be offered at least twice a year through Human Resources. All employees are encouraged to attend on an as-needed basis. Other forms of training opportunities and resource tools will be developed and utilized to ensure that supervisors and staff receive vital information that is necessary to prepare employees for continuing changes related to performance pay. Examples of these resource tools will include traditional classroom training, distribution of printed materials, e-mail communication, World Wide Web, a staff listserv, department newsletters, college newspaper, and on-line presentations. Of course, one-on-one training is available to all supervisors through the Human Resources office on an as-needed basis.



## **APPENDIX A:**

# **Performance Plan and Evaluation Form**

**THE METROPOLITAN STATE COLLEGE of DENVER**  
**PERFORMANCE PLANNING AND EVALUATION FORM**

Employee: _____	Social Security: _____
Class Title: _____	Position #: _____ Agency Code: GHD
Department: _____	Supervisor: _____
Appraisal Period: From _____ To 03310_ Annual <input type="checkbox"/> Interim <input type="checkbox"/>	

**PLANNING:** *The employee has been provided a Performance Plan and a copy of signed top sheet sent to Human Resources.*

Supervisor Signature _____	Date _____
Reviewer Signature _____	Date _____
Employee Signature* _____	Date _____

\* I ☐ Agree ☐ Disagree with the Plan.

**PROGRESS REVEIW:**

**(due by Oct. 31 and  
copy sent to H.R.)**

Supervisor Signature _____	Date: _____
Employee Signature _____	

**Coaching Session:** Date: \_\_\_\_\_ Employee Initials: \_\_\_\_\_ Supervisor: \_\_\_\_\_

**APPRAISAL:** *The overall performance rating for the entire appraisal period was*

☐ LEVEL I \_\_\_\_ Pts. ☐ LEVEL II \_\_\_\_ Pts. ☐ LEVEL III \_\_\_\_ Pts. ☐ LEVEL IV \_\_\_\_ Pts.

Supervisor Signature _____	Date _____
Reviewer Signature _____	Date _____
Employee Signature* _____	Date _____

\* I ☐ Agree ☐ Disagree with the Appraisal.

**SUMMARY OF TOTAL POINTS RECEIVED &  
OVERALL APPRAISAL RATING**

	Weight (%)	x	Points Received	=	Points per Goal
Competency #1: Communication		X		=	
Competency #2: Interpersonal Skills		X		=	
Competency #3: Customer Service		X		=	
Competency #4: Accountability		X		=	
Competency #5: Job Knowledge		X		=	
Goal 6 (supervision)		X		=	
Goal 7 IPO		X		=	
Goal 8 IPO		X		=	
Goal 9 IPO		X		=	

Total Weights =  
100 (%)

Total Points  
for All Goals

**OVERALL APPRAISAL RATING SCALE**

(Minimum Possible Points = 100, Maximum Possible Points = 400)

<b>Level I</b> 100 to 196 points	<b>Level II</b> 197 to 275 points	<b>Level III</b> 276-354 points	<b>Level IV</b> 355 to 400 points
-------------------------------------	--------------------------------------	------------------------------------	--------------------------------------

## GENERAL INFORMATION

<b>All employees</b> must address these five required competencies and include at least 3 additional goals	Competency 1: Communication Competency 2: Interpersonal Skills Competency 3: Customer Service Competency 4: Accountability Competency 5: Job Knowledge
<b>Employees who supervise</b> must use Employees must address 3 additional departmental/personal goals (or 2 additional goals if Goal 6 is used).	Goal 6 Supervision Goals 7, 8, and 9 IPOs

- Definitions:** A **competency** is a measurable pattern of skills, knowledges, abilities, behaviors and other characteristics that an individual needs to perform work roles or occupational functions successfully. A **goal** is a broad statement that describes general intentions. An **IPO - Individual Performance Objective** is a specific statement that describes a desired behavior or result from an employee, team and/or unit. A **measure** answers the question/s: How much? By when? - in order to meet the objective/goal.
  - There are five State Uniform Core Competencies: All classified employees are required to address these five competencies. Goal 6 must be used if employee supervises classified staff or students.
- IPOs - Individual Performance Objectives**-after employees and supervisors develop a title for the goal (for example, Goal 7: Process Improvement), the individual performance objective is developed.

For **Uniform Core Competencies**, employees and supervisors have the option to select any example from the list provided on the last pages of this document, or supervisors can write their own examples.

Employees and supervisors also have the option to put a "**critical emphasis**" on any performance measure by placing a "C" in the left margin next to a specific performance measure.

- Measure:** Following the IPO, a measure is written that describes the level IV, III and II ratings that the employee is expected to meet.
- During the planning phase, each competency and goal must be assigned a **weight (%)**. The total of all weights combined must equal 100(%). The **cumulative** total weight for Goals (7, 8 & 9) must equal a minimum of 30 and a maximum of 70.
- A coaching and feedback session is required. The supervisor and employee must date and initial the time the session took place.
- In the appraisal phase, each competency and goal is assigned a **point value** indicated by circling or placing a checkmark in the points scale, as well as a numerical value entered in the "Points Received" box. For example,

10%	Goal 1 Weight (%)	<div style="display: flex; justify-content: space-around;"> <span>1</span> <span>2 (✓)</span> <span>3</span> <span>4</span> </div>	Points Received –	2.3
LEVEL				

- The four overall appraisal ratings are described below:

**Level IV:** The point range for this rating is from 355 to 400. Definition: Employees who are exceptional and who **consistently** go beyond the Level III measures. This outstanding level is unique and difficult to achieve because it represents consistently exceptional performance or achievement beyond the regular assignment. Supervisors must provide a detailed justification/ narrative for each goal given this rating

**Level III:** The point range for this rating is from 276 to 354. Definition: Employees who meet and occasionally go beyond College and departmental expectations.

**Level II:** The point range for this rating is from 197 to 275. Definition: Employees who meet College and department expectations.

**Level I:** The point range for this rating is from 100 to 196. Unsatisfactory performance. Supervisors must provide detailed justification/narrative for each goal given this rating. When the overall performance rating is Level I, a corrective action may result. If performance is still rated at Level I at the time of reevaluation, disciplinary action may be taken (see rules for details).

- Progress Review:** Metro's Performance Pay Program requires every state classified employee have a written progress review by the last day in October (30 days following the end of the second quarter).

## Competency #1: Communication

### Planning Section: Competency 1 Individual Performance Objective(s):

Definition: Effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s), students and colleagues so as to anticipate problems and ensure the effectiveness of Metro State.

### Performance Measure/s:

Level II:

Level III:

Level IV:

Competency #1  
Weight (%)

1   2   3   4

Points Received -

LEVEL

May Include  
fractions

### Evaluation Section: Competency #1 Comments and Justification\*

*\*Not required* for employees meeting Level II and III expectations. Justification *is required* when an employee receives a **Level I** rating or **Level IV** rating for competency or goal.

## Competency #2: Interpersonal Relations

---

### Planning Section: Competency 2 Individual Performance Objectives:

Definition: Interacts effectively with others to establish and maintain smooth working relations.

### Performance Measure/s:

Level II:

Level III:

Level IV:

Competency #2  
Weight (%)

1   2   3   4

Points Received -

LEVEL

May Include  
fractions

### Evaluation Section: Competency #2 Comments and Justification\*

*\*Not required* for employees meeting Level II and III expectations. Justification *is required* when an employee receives a **Level I** rating or **Level IV** rating **for any competency or goal.**

## Competency #3: Customer Service

---

### Planning Section: Competency 3 Individual Performance Objectives:

Definition: Works effectively with internal/external colleagues and students to satisfy expectations.

#### Performance Measure/s:

Level II:

Level III:

Level IV:

Competency #3  
Weight (%)

1	2	3	4
---	---	---	---

Points Received -

LEVEL

May Include  
fractions

### Evaluation Section: Competency #3 Comments and Justification\*

*\*Not required* for employees meeting Level II and III expectations. Justification *is required* when an employee receives a **Level I** rating or **Level IV** rating for any competency or goal.

## Competency #4: Accountability

---

### Planning Section: Competency 4 Individual Performance Objectives:

Definition: Employee's work behaviors demonstrate responsible personal and professional conduct, which contribute to the overall goals and objectives of Metro State.

#### Performance Measure/s:

Level II:

Level III:

Level IV:

Competency #4  
Weight (%)

1   2   3   4

Points Received -

LEVEL

May Include  
fractions

### Evaluation Section: Competency #4 Comments and Justification\*

*\*Not required* for employees meeting Level II and III expectations. Justification *is required* when an employee receives a **Level I** rating or **Level IV** rating for any competency or goal.

## Competency #5: Job Knowledge

---

### Planning Section: Competency 5 Individual Performance Objectives:

Definition: The employee is skilled in job-specific knowledge, which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.

### Performance Measure/s:

Level II:

Level III:

Level IV:

Competency #5  
Weight (%)

1   2   3   4

Points Received -

LEVEL

May Include  
fractions

### Evaluation Section: Competency #5 Comments and Justification\*

*\*Not required* for employees meeting Level II and III expectations. Justification *is required* when an employee receives a **Level I** rating or **Level IV** rating for any competency or goal.



## GOAL 6: Supervision (REQUIRED if supervising students/staff)

### Planning Section: Goal 6 Performance Objectives (Must include the following):

- ☐ ♦ Effectiveness through training & appraisal
- ☐ ♦ Conducted at least one coaching & feedback session
- ☐ ♦ Submitted written progress review for classified evaluation's on time

### Individual Performance Objectives (optional):

### Performance Measure/s:

Level II:

Level III:

Level IV:

	Goal #6 Weight (%)	1   2   3   4	Points Received -	
LEVEL				May Include fractions

### Evaluation Section: Goal #6 Comments and Justification\*

*\*Not required* for employees meeting Level II and III expectations. Justification *is required* when an employee receives a **Level I** rating or **Level IV** rating for any goal.

GOAL 7 Title:

---

**Planning Section: Goal 7 Individual Performance Objectives:**

**Performance Measure/s:**

**Level II:**

**Level III:**

**Level IV:**

<div></div>	Goal #7 Weight (%)	<div>1234</div>	Points Received -	<div></div>
LEVEL				May Include fractions

**Evaluation Section: Goal #7 Comments and Justification\***

*\*Not required* for employees meeting Level II and III expectations. Justification *is required* when an employee receives a **Level I** rating or **Level IV** rating for any goal.

GOAL 8 Title:

---

**Planning Section: Goal 8 Individual Performance Objectives:**

**Performance Measure/s:**

**Level II:**

**Level III:**

**Level IV:**

--

**Goal #8  
Weight (%)**

1	2	3	4
---	---	---	---

**Points Received -**

--

**LEVEL**

May Include  
fractions

**Evaluation Section: Goal #8 Comments and Justification\***

*\*Not required* for employees meeting Level II and III expectations. Justification *is required* when an employee receives a **Level I** rating or **Level IV** rating **for any goal**.

GOAL 9 Title:

---

**Planning Section: Goal 9 Individual Performance Objectives:**

**Performance Measure/s:**

**Level II:**

**Level III:**

**Level IV:**

**Goal #9  
Weight (%)**

1	2	3	4
---	---	---	---

**Points Received -**

**LEVEL**

May Include  
fractions

**Evaluation Section: Goal #9 Comments and Justification\***

*\*Not required* for employees meeting Level II and III expectations. Justification *is required* when an employee receives a **Level I** rating or **Level IV** rating **for any goal**.

## **Behavior Examples**

Mastery of the core competencies will vary depending upon the background and duties of an employee. For example, a maintenance worker's performance would not necessarily be measured in the same way as a receptionist's. Additionally, senior level positions would be held to higher standards than entry-level positions. The following are examples of behaviors a supervisor might use in measuring these competencies.

### **Communication**

- Sought and considered ideas from others on issues that affected them.
- Communicated orally in a well-organized, courteous, and effective manner.
- Communicated to provide or exchange information while keeping others informed.
- Maintained sensitivity to the feelings and efforts of others.
- Listens effectively to others ideas, work related problems, suggestions.
- Demonstrates effective public greeting skills.
- Demonstrates effective phone skills.
- Seeks feedback on the effectiveness of written and oral communication.
- Adapts communication methods to respond to different audiences.
- Provides accurate, timely information (oral/written).
- Actively listens to others.
- Involves others in problem solving.
- Provides clear instructions and expectations.
- Works in an open manner, shares information with others to get the job done.
- Expresses ideas clearly and effectively orally and in writing.
- Listens carefully and sincerely considers the ideas of others.
- Maintains confidentiality, and exercises good judgment about what to say and when to say it.
- Responds in a prompt and friendly manner to requests and inquiries.
- Keeps others informed.
- Meets routinely with supervisor and key customers to exchange information and clarify expectations.
- Asks appropriate questions to clarify information/needs.
- Provides accurate, timely information (oral/written).

## **Interpersonal Relations**

- Well regarded by colleagues, can interact easily with a diverse workforce.
- Treats others with respect.
- Pleasant, friendly, affable, cheerful.
- Polite, courteous, empathetic.
- Demonstrates appreciation; thanks others for their assistance.
- Is courteous and acknowledges the contributions of others. Respectful of the feelings of others.
- Respects other persons' time and priorities.
- Treats others fairly and without prejudice or bias.
- Seen by peers as someone whom they can depend on.
- Does not initiate conflict and actually takes measures to ensure that conflict does not occur.
- Demonstrates tact and diplomacy when resolving conflicts, addressing concerns directly with the individual(s) involved.
- Takes initiative to address concerns with other staff in a timely manner promoting understanding and cooperation.
- Approach to conflict resolution is exceptional, creating enhanced teamwork, without hard feelings.
- Contributes to a positive work environment through their interactions with others.
- Demonstrates flexibility by adapting to changes in priorities and the work environment.
- Demonstrates positive personal regard when confronting problems with others.
- Demonstrates respect for responsible dissent.
- Behaves in ways designed to keep problems impersonal whenever possible.
- Maintains positive work relationships.
- Treats others with courtesy and respect.
- Is cooperative and responsive.
- Builds trust and works with integrity.
- Treats others with respect, courtesy, tact, and friendliness and actively attempts to be helpful towards others.
- Accepts criticism, is open to new ideas, and handles conflict constructively and diplomatically.
- Consistently able to obtain the cooperation of others.
- Works through conflict for positive solutions/results.
- Promotes cooperation and teamwork.
- Learns from conflict and makes appropriate changes.
- Takes initiative to improve working relationships and foster feelings of mutual respect with coworkers and customers.
- Makes a special effort to boost employee morale and create a positive work environment.

## **Customer Service**

- Keeps appointments, call-return commitments, etc.
- Is approachable and responsive to customers and others.
- Shows appropriate patience with complaining customers and employees.
- Treats the customer with respect and courtesy
- Provides consistent, quality service to all customers.
- Is available to the customer and provides accurate, consistent, and honest information.
- Listens to the customer and provides feedback that will benefit the customer in the future.
- Understands who the customer is.
- Strives to satisfy customer needs.
- Offers appropriate and innovative solutions to customer problems.
- Demonstrates courtesy and a professional attitude in handling customer complaints.
- Responds promptly to requests for information and/or assistance.
- Meets customer expectations in a timely manner/Delivers what has been promised.
- Follows up with customer in a timely manner.
- Responds to telephone and e-mail messages within four hours.
- Anticipates future needs/problems of customers and takes action to meet these needs or solve problems.
- Makes an extra effort to keep customers accurately informed.
- Understands the customer from their point of view. Has a thorough knowledge of the customer's world and is able to anticipate customer's requests.

## **Accountability**

- Provides consistent, timely, high quality work.
- Adheres to established work schedule.
- Arrives at work and meetings on time.
- Meets assigned deadlines without additional prompting by supervisor or others.
- Follows established call-in procedures for their department and submits leave request form within four hours of returning to the work place.
- Submits time sheets on time and correctly completed.
- Actions and speech reflect a commitment to the agency.
- Always finishes assignments on time, meets deadlines.
- Administrative paperwork is accurate and submitted on time.
- When on leave, arrangements are made for “current” work/responsibility to continue.
- Responds to change with a genuine desire to do what it takes to get the job done, regardless of the need to make adjustments.  
Employee accepts the change and is instrumental in seeing that the change is perceived positively by others and is carried out in a way that improves the overall operation of the department.
- Knows how to keep confidential information confidential.
- Never disparages the agency or its employees in public.
- Completes projects ahead of time without compromising the quality of work.
- Conveys a positive and professional image of the agency to others.
- Adapts well to new situations, unusual demands, emergencies, or critical incidents.
- Behaves in a businesslike manner.
- Avoids gossip and negative rumors.
- Seeks new and/or additional on-the-job training opportunities to obtain mastery over tasks, expand personal knowledge and add value to the work group.
- Demonstrates initiative consistent with job expectations to improve performance.
- Employee performs their standard duties throughout the year and in addition takes on several large projects and some smaller ones that have a significant impact on the department.
- Completes work by established time lines and routinely uses time efficiently.
- Employee completes work well in advance of deadlines so that the supervisor has plenty of time to review documents and make revisions, rather than receiving documents just before the deadline with little time for adequate proof reading and revisions.
- Demonstrates professional job-specific skills necessary to provide the appropriate quality of work.
- Not only demonstrates specific job skills, but also takes the initiative to learn higher level skills that enhance ability to contribute to the organization.
- Creates a positive work environment and influences the behavior of other employees by their supportive and optimistic approach to daily activities within the work environment.
- Assists coworkers in response to fluctuations in workloads.
- Does not need to be asked to assist others in times of need. Employee jumps in and volunteers to assist others, even in areas where one may not expect them to routinely volunteer. Besides volunteering for the obvious needs, the employee senses other less obvious needs within the organization and provides additional assistance creating improved morale and work production.
- Serves citizens of the state.
- Demonstrates concern for the larger community served by the organization.

## **Job Knowledge**

- Possesses appropriate expertise to perform job at a professional level.
- Takes opportunities to increase knowledge of relevant job skills.

## **APPENDIX B:**

### **Progress Review Form**



**Metropolitan State College of Denver**  
**Performance Plan and Evaluation**  
**Mid-Year Review Form**

Employee Name: \_\_\_\_\_

Supervisor Name: \_\_\_\_\_

Period Covered (date): April 1 through October 1

**Uniform Core Competencies**

Competency 1: Communication:

Competency 2: Interpersonal Skills:

Competency 3: Customer Service:

Competency 4: Accountability:

Competency 5: Job Knowledge:

**Departmental Goals**

Goal 6/7:

Goal 8:

Goal 9:

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Rev. 10/01

**APPENDIX C:**  
**Employee Self-Evaluation Form**

## Employee Self Evaluation Form

Employees are encouraged to complete and submit to their supervisor a self-evaluation prior to the progress review and/or final evaluation meeting.

**Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Check One:**      **Mid-Year Progress Review:** \_\_\_\_\_ **Final Evaluation Period:** \_\_\_\_\_

**Instructions:** Please describe your progress/ability to satisfy the individual performance objectives (IPO's) established during the planning phase.

### **Uniform Core Competencies**

Competency 1: Communication:

Competency 2: Interpersonal Skills

Competency 3: Customer Service

Competency 4: Accountability

Competency 5: Job Knowledge

### **Departmental Goals**

Goal 6/7:

Goal 8:

Goal 9:

**List any modifications to the departmental goals and your performance plan resulting from changed business conditions since the plan was initially developed:**

Attach all relevant supporting documentation to uphold your position/self-rating.

**APPENDIX D:**  
**Internal Dispute Resolution Form**

# **Metropolitan State College of Denver**

## **Formal Internal Dispute Resolution Form**

Employees may use this form to dispute issues related only to their performance plan or lack of plan, their performance evaluation or lack of a final evaluation, full payment of a reward, or application of the College's Performance Pay Program, policies, or processes.

**Disputant's Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

\_\_\_\_\_

**Disputant's Position Title:** \_\_\_\_\_ **Position Number:** \_\_\_\_\_

\_\_\_\_\_

**Please describe the dispute/disagreement:**

---

---

---

---

---

---

---

**Provide specific examples of your dispute/disagreement:**

---

---

---

---

---

---

---

**List the action that you feel would be fair and equitable:**

---

---

---

---

---

---

---

### **Informal Dispute Resolution Process:**

Schedule a meeting with your supervisor to resolve the issue within two working days after the performance plan or evaluation is presented. The employee should bring any supporting documentation that may aid the supervisor's decision. If the employee and supervisor are unable to reach an agreement during this meeting, the employee may proceed to the Formal Internal Process.

### **Formal Internal Dispute Resolution Process:**

1. Submit this form to next higher-level supervisor within 3 working days of signing performance evaluation/plan. The second-level supervisor must render a decision in writing within 5 working days from receipt of written request.

2. If you do not agree with the decision of the higher-level supervisor, you may submit this same written request to the third level supervisor within 3 working days. The third-level supervisor must render a decision in writing within 5 working days from receipt of written request. The decision of the third-level supervisor is final.

**APPENDIX E:**  
**External Dispute Resolution Form**

# Instructions for Completing Appeal/Performance Pay Dispute Form

This form is designed for use in all state personnel system appeals or performance pay disputes, whether the appeal is to the State Personnel Director or the State Personnel Board. Please note that the form may also be used to request the State Personnel Director's external review of certain matters related to performance pay disputes. Differences are noted in the instructions.

Appeals must be filed within 10 calendar days of the date on which you received notice of the action being appealed. An appeal may be filed by mailing it by first class mail with a postmark on or before the tenth day, or by hand delivering it to the proper address before the ten-day appeal period ends. If the tenth day falls on Saturday, Sunday or a legal state holiday, the filing deadline is extended to the next business day. Appeals should be hand delivered or mailed to the address for the State Personnel Board and Director shown at the top of the appeals form. Appeals may be filed with the Board or Director by sending a fax to (303) 894-2147. The original appeal must also be mailed to the Board or Director the same day the appeal is faxed. The same applies to performance pay disputes except the filing deadline is five working days from the date of the department's final written decision.

**FOLLOW THESE INSTRUCTIONS CAREFULLY.** The use of the form is optional; however, the information requested is required. You may provide the requested information by letter, if you prefer. Failure to give complete and specific information *may* result in dismissal of your appeal or dispute

## DIRECTIONS FOR FILLING OUT THE FORM:

### 1. IDENTIFICATION SECTION

**Complainant.** Enter your name, the address where you want to receive mail, and the telephone number where you may be reached concerning this appeal. *It is your responsibility to notify state personnel of any change in your address.* Failure to do this may result in dismissal of your appeal or dispute.

**Certified status.** An employee who has completed a 12-month probationary period, or less at the option of the employer, is certified and has certain legal rights to continued employment.

**Representative.** Do not fill in this section unless your representative (i.e., lawyer or a business agent of an employee association or union of whom you are a dues paying member) signs the appeal. This section does not apply to performance pay disputes.

### 2. RESPONDENT. The department or university whose action is being appealed or disputed.

### 3. SPECIFIC ACTION(S) APPEALED/DISPUTED

Describe briefly and specifically the action being appealed or disputed.

### 4. REASONS FOR APPEAL/DISPUTE

The action you are appealing can be overturned only if it is arbitrary, capricious, or contrary to rule or law. "Arbitrary or capricious" is defined as action that has no rational basis or no competent evidence to support it. "Contrary to rule or law" is defined as an action that violates a specific provision of the state or federal constitution or statutes, or any state personnel policy, rule or procedure. The same applies to performance disputes involving the application of the department's performance pay program or full payment of a performance adjustment.

### 5. RELIEF REQUESTED



State what you want to happen as the result of your appeal or dispute. What do you want the Director or Board to order if you win your appeal or dispute? Be specific.

## **6. NOTICE**

The date you received notice is critical in establishing your right to appeal or dispute. *Attach a copy of the written notice you received, if any, of the action you are appealing or disputing.* Indicate if you did not receive any written notice of the action.

## **7. TYPE OF APPEAL/DISPUTE**

Check off only those boxes that clearly apply to your situation. Generally, only one or two boxes will apply. Do not fill in blanks associated with a type of appeal or dispute not related to your appeal or dispute, i.e. where you have not checked the box. Below are definitions of terms that may be helpful:

Current Base pay - Current monthly or hourly rate of pay, excluding overtime or premium pay.

Status - Refers to probationary, certified, trial service, and other designations of "status" in state personnel rules, chapter 4.

Tenure - Refers to rights associated with being a certified state employee, such as reemployment procedures after layoff.

## **8. SIGNATURE**

The form must be signed by you or by your representative, if applicable, in the case of an appeal. Also, be sure that the signer's name, address and telephone number are printed or typed above in section 1.

## **9. CERTIFICATE OF DELIVERY**

You **must** deliver a copy of this form to the respondent, either in person or by first class mail, addressed exactly as you have given the respondent's address on page 1. Specify whether the copy of the form was delivered by mail or hand, and the date it was postmarked or hand delivered.

## **WHAT TO EXPECT NEXT:**

Staff in the Appeals Unit will read your appeal or dispute, apply the state personnel rules to determine the type of appeal or dispute rights you have and direct the appeal to either the Director or Board. You will receive a written response within 10 calendar days of the date your appeal or dispute is received advising you of the next step in the process. (You will have an opportunity to explain your position.) If you have not received a written response by the tenth calendar day, you may call to inquire about the status of your appeal or dispute. Depending on the type of appeal or dispute you have filed, you may call either the State Personnel Board at (303) 894-2147, or, the State Personnel Director at (303) 866-2323.

An employee has the burden of proof in all appeals and disputes except those involving disciplinary actions. That is, if your case proceeds to hearing or review in a matter other than a disciplinary action, you will have the obligation to present enough evidence to convince the reviewer that the action taken against you was arbitrary, capricious or contrary to rule or law.

## **QUESTIONS CONCERNING THIS FORM:**

Appeal rights and procedures are explained in detail in Colorado State Personnel System Rules and Procedures, Chapter 8, 4 Code of Colorado Regulations 801.

Revised 7/1/2001

## APPEAL FORM/EXTERNAL PERFORMANCE PAY DISPUTE FORM

**NOTE:** Read these instructions before completing this form. Type or print legibly in black ink. You may attach additional sheet(s), if necessary. If you attach additional sheet(s) to this form, note which numbered question the information on the additional sheet(s) applies to. Pursuant to the Americans with Disabilities Act, copies of this form are available in alternate formats. Contact the State Personnel Board or Director to obtain these alternate formats. Mail or deliver this completed form to: **State Personnel Board or Director, Attention: Appeals/Performance Pay Disputes Processing, 1313 Sherman Street, Room 122, Denver, CO 80203.**

### 1. IDENTIFICATION

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
s: \_\_\_\_\_  
Phone: (w) \_\_\_\_\_  
(h) \_\_\_\_\_

Representative on Appeal (if applicable):\*

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
s: \_\_\_\_\_  
Phone: \_\_\_\_\_

\* Does not apply to Performance Pay Disputes. Representatives need to file an entry of appearance with the Board.

**You must notify the Board or Director in writing if the above information changes before the appeal or performance pay dispute process is concluded.**

I am a **certified** state employee: ☐ Yes ☐ No.

### 2. THE PARTY WHOSE ACTION IS BEING APPEALED OR DISPUTED:

Name: \_\_\_\_\_  
Department or \_\_\_\_\_  
University: \_\_\_\_\_  
Address: \_\_\_\_\_

### 3. SPECIFIC ACTIONS BEING APPEALED OR DISPUTED:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### 4. REASONS FOR APPEAL/DISPUTE: The action taken was arbitrary, capricious, or contrary to rule or law because:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### 5. RELIEF REQUESTED: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

### 6. NOTICE: The date I received written notice of the action being appealed was: \_\_\_\_\_ (ATTACH A COPY OF THE WRITTEN NOTICE, IF ANY, TO THIS FORM.)

### 7. TYPE OF APPEAL OR DISPUTE: (Check only the box(es) that apply.)

☐ **Disciplinary Action** (Describe): \_\_\_\_\_

- ☐ **Examination Appeal**      **Class Title:** \_\_\_\_\_ **Date of Exam:** \_\_\_\_\_
- ☐ **Final Grievance Decision** (Attach copy of final grievance decision)
- ☐ **Layoff** (includes abolishment of position, retention rights, and reemployment rights.)
- ☐ **Matter involving the overall administration of the personnel system by an agency, which is not otherwise appealable.** (See Director's Procedure P-8-21 A)
- ☐ **Other** (describe, e.g., overtime, adverse effect on current base pay\*, status or tenure.)  
(\*See definitions on instruction sheet.):
- ☐ **Downward Position Evaluation Appeal** (Allocation to a class in a lower pay grade.)  
Present      Class  
Title: \_\_\_\_\_
- ☐ **Whistleblower** (Retaliation for disclosure of information) (Board rule R-8-21 requires you to attach a written complaint.) Please mark the appropriate items as listed below:
- ☐ **Matter of:**    ☐ **Waste of Public funds**      ☐ **Abuse of Authority**      ☐ **Mismanagement of Agency**  
☐ **OTHER:** (PLEASE PROVIDE WRITTEN EXPLANATION) \_\_\_\_\_
- ☐ **Reasonable communication to supervisor of retaliation claim.**      **When:** \_\_\_\_\_
- ☐ **Reasonable communication to appointing authority or member of legislature**
- ☐ **Discrimination**
- |                                                |                                                              |                                                    |
|------------------------------------------------|--------------------------------------------------------------|----------------------------------------------------|
| <input type="checkbox"/> Disability            | <input type="checkbox"/> Race/Creed/Color                    | <input type="checkbox"/> Sex                       |
| <input type="checkbox"/> Age                   | <input type="checkbox"/> National Origin                     | <input type="checkbox"/> Religion                  |
| <input type="checkbox"/> Political Affiliation | <input type="checkbox"/> Sexual Orientation                  | <input type="checkbox"/> Organizational Membership |
| <input type="checkbox"/> Veteran's Status      | <input type="checkbox"/> Other non-job related Factor: _____ |                                                    |
- ☐ **Director's Review of a Performance Pay Dispute** (Attach copy of the original written internal dispute and agency's decision)
- ☐ Application of agency's performance pay program to individual plan or rating      ☐ Full payment of adjustment

**THIS FORM MUST BE SIGNED BY THE COMPLAINANT OR, IF AN APPEAL, THE COMPLAINANT'S REPRESENTATIVE. SIGNATURE BY THE COMPLAINANT'S REPRESENTATIVE CONSTITUTES AN ENTRY OF APPEARANCE FOR AN APPEAL. ALL DOCUMENTS AND CORRESPONDENCE WILL BE SENT TO THE PERSON SIGNING THIS FORM.**

Date: \_\_\_\_\_

\_\_\_\_\_  
SIGNATURE

**CERTIFICATE OF DELIVERY: You MUST hand-deliver or mail a copy of your appeal/dispute to the party listed in item 2.)**

I certify that I have served a copy of this appeal or dispute on the respondent at the address specified in item 2 above, by (first class mail) (hand delivery) (cross out the one that does not apply) this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

Signature \_\_\_\_\_

## **APPENDIX F:**

# **Sample Individual Performance Objectives**

# **Metropolitan State College of Denver**

## **Sample Individual Performance Objectives**

### **Competency #1: Communication:**

Level IV:

Level III:

Level II:

### **Competency #2: Interpersonal Skills:**

Level IV:

Level III:

Level II:

### **Competency #3: Customer Service:**

Level IV:

Level III:

Level II:

### **Competency #4: Accountability:**

Level IV:

Level III:

Level II:

### **Competency #5: Job Knowledge:**

Level IV:

Level III:

Level II:

### **Goal #6 (for Supervisors only): Supervision:**

Level IV:

Level III:

Level II: